



# **STATE OF INDIANA**

## **Request for Information**

**6-C**

**INDIANA DEPARTMENT OF ADMINISTRATION (“IDOA”)**

**And**

**INDIANA FAMILY AND SOCIAL SERVICES  
ADMINISTRATION (“FSSA”)**

**Solicitation for:**

**ELIGIBILITY DETERMINATION SERVICES**

**Response Due Date: January 3, 2006**

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## **Section 1 Overview of this Request for Information**

This is a Request for Information (“RFI”) issued by the Indiana Department of Administration (“IDOA”) in conjunction with the Family and Social Services Administration (“FSSA”) and the Department of Child Services (“DCS”). This RFI requests a response (“Response”) for services that may be provided by a Respondent responding to this RFI (“Respondent” or “Respondents”) if it were ultimately to enter into a contract to assist the state in improving public assistance client eligibility determination processes and systems (“Eligibility Services.”) The State is seeking a new approach to determining if and how people qualify for Medicaid, food stamps and Temporary Assistance for Needy Families (“TANF”), among other forms of public assistance.

There will not be a contract resulting directly from this RFI. However, Respondent will be placed on the list of Respondents and may, at the sole discretion of FSSA, receive a Request for Services (“RFS”) that may arise from this RFI. Under no circumstances will receipt of a Response to this RFI bind or obligate the state in any way.

### **1.1 Background**

Indiana’s current public assistance eligibility system simply does not provide the high level of services that Indiana citizens have the right to expect and deserve. Indiana must modernize its public assistance eligibility determination process. It is not working for those trying to use the system; it is not working for employees trying to administer the system; and it is not working for Indiana taxpayers who must help fund the tens, maybe even hundreds of millions of dollars lost each year because of antiquated and inefficient processes.

In addition to high error rates, the system requires that clients, some of Indiana’s most vulnerable citizens, go out of their way just to apply for help. Prospective beneficiaries often must travel to various sites to apply for the various services FSSA administers. They must make these trips during “bankers’ hours” and must then travel to other sites to actually receive or secure the benefits to which they may be ultimately deemed entitled. In Indiana, clients cannot access the system by phone, fax or e-mail during the initial eligibility application and determination process.

Once at these sites, applicants encounter overworked staff (many with over 500 or more pending cases) constrained by outdated (“green screen”) technology. Moreover, the technology serving one program usually does not integrate with any other.

Once the application process is complete, error rates are often quite high. For example, the error rate on standard long-term nursing home care determinations is roughly 35%. This error rate alone can cost the state as much as \$50 million per year. FSSA has yet to determine the financial impact of the errors made on more complicated cases.

Over the years, many other public and private organizations have taken advantage of new technology and processes to become more efficient and provide consumers with more options. Indiana citizens continue to apply for public assistance much as they did decades ago. It's time

to improve the way Indiana citizens apply for these important services. It's time to provide Eligibility Services that are more compassionate and that avoid the suffering the system now causes Indiana's citizens in greatest need.

FSSA currently spends about \$200 million per year on an Eligibility Services process built around systems originally designed in the 1960s to determine if people qualify for Medicaid, food stamps, and TANF among other forms of public assistance. Today, the process requires over 2,500 state employees located in 107 county offices and at headquarters in Indianapolis.

Table 1 summarizes key financial, personnel and statistical data presented in this report. Additional details supporting this data are available in a web-based Respondent Document Library (see Section 2.5).

**Table 1: Annual Expenditures (amounts in thousands)**

	Benefits Payments	Administrative Expenditures	Total Expenditures
County Administration		\$125,377	\$125,377
TANF Assistance	\$116,525	16,464	132,989
Child Care Development Fund	147,339	6,681	154,020
IMPACT - TANF	1,952	11,910	13,862
IMPACT - Food Stamps	902	6,737	7,639
ICES		15,267	15,267
Medicaid	4,770,113		4,770,113
Food Stamps <sup>1</sup>	613,000		613,000
<b>Total In Scope</b>	<b>\$5,649,831</b>	<b>\$182,436</b>	<b>\$5,832,267</b>

FSSA is now engaged in a program to redesign the state's processes and systems for determination of client eligibility for public assistance. The new vision is an eligibility system that reduces the tendency toward dependence on public assistance. FSSA seeks a system that:

- Better encourages participants to engage in the work force
- Partners with an external services provider that brings new skills, tools, ideas and energy to eligibility
- Draws on the best of commercial services and systems to augment or replace current FSSA resources
- Aligns the Respondent financially with FSSA in its efforts to reduce dependency, fraud and abuse, while it also
- Reduces administrative cost.

Through this program, FSSA seeks to:

- Reduce application processing time
- Increase access points for application and recertification
- Create consistent standards for Eligibility Services

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<sup>1</sup> Admin included in TANF

- Make it easier for Indiana citizens to comply with policies and rules
- Reduce the need for Indiana citizens to produce the same source documents for each public assistance benefit program application
- Improve the hours during which the system is available to clients
- Assure appropriate access for clients with cultural and language barriers.

In the new vision, clients can apply in person, through the Internet, over the phone, by fax or mail. The new vision is also to modernize underlying systems by adding a web front-end and data integration layer to the legacy systems. Solutions might also include new tools such as biometric identification, document scanning, call management technology and interactive voice response.

While FSSA has some ideas of the elements of the new solution, it is eager to allow Respondents great latitude to describe solutions that will take advantage of their unique strengths and resources. Consequently, while this RFI mentions potential solution components in several areas, none is offered as a requirement. FSSA is looking to Respondents to describe how they would provide the scope of services. As a further consequence of this approach, FSSA provides no documentation of current processes. This would be counterproductive to the objective of allowing Respondents wide discretion in describing an innovative solution for eligibility of the scope programs.

## 1.2 Objective

This RFI describes FSSA's vision, objectives and intended outcomes. Each Respondent is likely to offer a different solution to achieve the vision. Respondents are cautioned to avoid over-emphasizing any one aspect of their solution. New information technology, for example, will not achieve the vision by itself. The vision anticipates solutions that bring to benefits a comprehensive new approach to policies, process, staffing, systems, vendors and service delivery.

FSSA is seeking Responses that describe the best *business* solution to the state's eligibility challenge. Respondents are encouraged not to focus on political consideration, which, if applicable, will be addressed in the contracting process with an eventual Vendor (see section 3.1). FSSA intends to judge Responses on their commercial merit.

FSSA also believes this is a business, not a technical challenge. Responses should not automatically assume that FSSA will value technology, unless it has demonstrable business benefit.

## 1.3 Confidentiality

This RFI process focuses on the relative merits of solutions individual Respondents may offer. While any subsequent RFS may provide more specifics about FSSA goals and objectives, it is **not**, however, the intention of FSSA to use information gleaned from this RFI to specify a

solution that several bidders would bid on. Each Respondent that may be asked to participate in a subsequent RFS will propose its own solution, as described in Response to this RFS.

Accordingly, each Response to this RFI will be treated as confidential management deliberation material. Responses to this RFI will not be considered public information until after the procurement process is complete.

## **1.4 Process**

This RFI is a key step in FSSA's eligibility redesign. FSSA is asking Respondents to describe how they would design and take over Eligibility Services. Responses to this RFI will be evaluated to determine a short list of Respondents who will be asked to refine their solution and propose pricing and terms through an RFS. Finally, one or more Respondents may be selected to submit best and final offers, or work to a negotiated solution.

This RFI describes key parts of the FSSA vision. It is not specific about how Respondents might propose to build and manage a solution to realize the vision. The process is designed to take best advantage of Respondent's expertise in realizing similar visions in other states and related challenges in the commercial sector.

While it would be ideal to provide individual Respondents unlimited access to FSSA resources, that is obviously not practical. Respondents may request additional information, which FSSA will make available on a web-based Respondent Document Library for all to view. Short-listed Respondents, if any, will have additional opportunities to obtain information and feedback.

## Section 2 How to Submit a Response

### 2.1 Procurement Calendar

The following is the current timeline for the procurement process regarding FSSA Eligibility Services.

These dates and times, and the listed events, are subject to changes, additions and deletions at any time and from time to time in the absolute discretion of the state.

**Table 2: Procurement Calendar**

Event	Date	Time <sup>2</sup>
Release RFI for public comment	10/28	
Respondent locator board open	10/28	
Launch Respondent Document Library	10/28	
Respondent questions due	11/11	
Respondent briefing	11/18	
RFI Responses due	1/3	3:00 PM <sup>2</sup>
Discussion Item Letters sent to short list	1/10	
RFI Respondent presentations	1/17-20	
RFS released	1/30	
Meetings with Individual Respondents	2/6	
RFS proposal due	3/15	3:00 PM <sup>2</sup>
Respondent presentations	3/23	

### 2.2 RFI for Public Comment

FSSA will release this RFI to the general public for comment. This is an important vehicle for understanding needs of the general public. FSSA hopes through this public release to obtain input on the change imperative and learn unique ideas on possible changes from stakeholder groups that have a special interest in improving FSSA eligibility. Public feedback will be summarized and made available to Respondents through the web-based Respondent Document Library.

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<sup>2</sup> Indianapolis time

## **2.3 Respondent Posting Board**

Entities interested in being part of a Responding team may post contact information using the e-mail form in the Respondent Document Library. Submitted forms will be made available on the Respondent Document Library. In doing so, FSSA makes no judgment or recommendation concerning any entity's capabilities.

## **2.4 Respondent Questions**

Questions regarding this RFI must be submitted in a text document emailed to the Contact Person (see Section 2.11) no later than the time and date in the Procurement Calendar (Table 2). The answers to all questions will be shared on an anonymous basis with all Respondents by placing them in the web-based Respondent Document Library.

## **2.5 Respondent Document Library**

The Respondent Document Library (<http://www.in.gov/fssa/edp/index.html>) is a web site from which Respondents may download documents. Additional information will be posted to the Respondent Document Library from time to time without notice. Respondents are responsible for checking the Respondent Document Library and making themselves familiar with any content or updates.

## **2.6 Respondent Briefing**

FSSA will conduct a Respondent briefing currently anticipated to be on the date shown in the Procurement Calendar (Table 2). The purpose of this meeting is to clarify and further elaborate on any Respondent questions received. In addition, FSSA and IDOA Procurement personnel will be available for questions during such briefing. Location and time will be announced.

## **2.7 Respondent Presentations**

If it would be beneficial to the selection effort to have discussions with Respondents, the IDOA Procurement Division ("IDOA Procurement") will advise short-listed Respondents of any item of discussion, by letter or e-mail. Presentations are considered formal discussions and may play a factor in the evaluation. These discussions will seek to obtain any clarifications or resolve any uncertainties, ambiguities, or suspected mistakes in Responses, especially if they relate to unclear RFI requirements. Oral discussions should include a written response to the items outlined in the letter.

## **2.8 Short List Announcement**

IDOA Procurement will advise those Respondents, if any, who have been short-listed and will be issued an RFS. A Response to this RFI does not guarantee that a Respondent will be issued an RFS, but only serves notice that the Respondent desires to be considered for receipt of an RFS.

## **2.9 Submitting a Response**

Each Respondent must submit one original (marked “Original”) and ten complete copies of its Response, including the transmittal letter and other related documentation as required in this RFI. A complete copy of the Response must be provided on a CD-ROM size 700mb. In addition, each Response must include one electronic copy with all Respondent and subcontractor names changed to “Respondent” and “Subcontractor” (respectively), throughout.

Each copy of the Response must follow the format indicated in Section 6 of this document. Unnecessarily elaborate brochures or other presentations, beyond those necessary to present a complete and effective Response, are not desired. All Responses must be addressed to IDOA Procurement, c/o the Contact Person (see Section 2.11):

Todd Durnil  
Indiana Department of Administration  
402 West Washington Street, W468  
Indianapolis, IN 46204  
rfp@idoa.in.gov

All Responses must be clearly marked with the RFI number, due date, and time due. Any Response received by IDOA Procurement after the due date and time will not be considered. Any late replies will be returned, unopened, to the Respondent upon request. All rejected replies not claimed within 30 days of the Response due date will be destroyed. No more than one Response per Respondent may be submitted.

FSSA/IDOA does not accept any liability under any circumstances for any costs or expenses incurred by Respondents in preparing their Responses or in acquiring, clarifying, or responding to any condition, request or standard contained in this RFI, including, without limitation, Respondent briefings, presentations or meetings. Each Respondent participating in the RFI process does so at its own expense and risk and agrees, by its participation, that the state shall not reimburse any costs incurred during this process; and each Respondent, by its participation in this process, agrees to indemnify and hold harmless the state from and against any claims (including any costs, expenses and attorneys' fees) for such reimbursement, directly or indirectly, made by or on behalf of such Respondent.

A Response should be double-sided and printed on 30% post-consumer recycled content paper or tree-free paper.

**Caution to Respondents about shipping/mailing:** United States Postal Express and Certified Mail are both delivered to the Government Center Central Mailroom, and not directly to the designated department. It is the responsibility of the Respondent to make sure that solicitation Responses are received by IDOA Procurement on or before the designated time and date. Late Responses will not be accepted. The IDOA Procurement clock is the official time for Responses.

## **2.10 Size of the Response**

A Response to this RFI is limited to the equivalent of two hundred (200) 8½ x 11 inch single-sided pages (i.e. 100 double-sided sheets) plus the following required components, none of which shall count as part of the 200 page limit:

- General Section (Described in 7.1)
- Table of Contents
- Executive Summary, not to exceed ten (10) pages

Responses may include fold-out or oversized pages provided the surface area of the Response does not exceed the prescribed total. Text should be 12 point or larger Times New Roman or Arial font.

## **2.11 Inquiries**

Todd Durnil, IDOA Procurement Account Manager ("Contact Person"), is the single point of contact on behalf of the state for this RFI. Other than with the consent of the Contact Person or as specifically directed by the Contact Person, all Respondents and any persons affiliated with or in any way related to the Respondents, are strictly prohibited from contacting the state and its officials, employees, consultants, representatives, attorneys and agents (collectively, "Protected Persons") on any matter having to do in any respect with this RFI other than as specifically provided herein. If any Respondent fails to adhere to this prohibition, the state may determine to disqualify and reject such Respondent's Response. Any and all contacts with Protected Persons shall be made only through and in coordination with the Contact Person. Such contacts may be required to be in writing as directed by the Contact Person. Respondents may send written questions to the Contact Person regarding clarification of this RFI to assure full understanding of, and responsiveness to, its requirements.

## **2.12 Modification or Withdrawal of Replies**

Responses to this RFI may be modified or withdrawn in writing so long as notice is sent to IDOA Procurement by mail, fax or e-mail and is received prior to the exact hour and date specified for receipt of Responses. The Respondent's authorized representative may withdraw the Response in person, providing his or her identity is made known, and he or she signs a receipt for the Response. Proposals may not be withdrawn after the Response due date and time has passed. Modification to or withdrawal of a Response received by IDOA Procurement after

the exact time and date specified for receipt of Responses will not be considered. If it becomes necessary to revise any part of this RFI or if additional data is necessary for an exact interpretation of provisions of this RFI prior to the due date for Responses, an addendum will be posted on the IDOA Procurement website. If such addenda issuance is necessary, IDOA may, in its sole and absolute discretion, extend the Response deadline for submitting a Response to this RFI.

## **2.13 Modification of Process**

In its absolute and sole discretion, FSSA/IDOA reserves the right to take any action with regard to this RFI that it considers to be appropriate. FSSA/IDOA reserves the right, in its sole and absolute discretion, after receiving and reviewing the Responses to this RFI, or at any other point during the RFI or RFS process, to reject any or all Responses or accept the Response or a proposal in response to an RFS that is most appropriate to accomplish the goals of FSSA/IDOA with regard to the in-depth description of how the merit-rated state employee will make the final eligibility determination.. FSSA/IDOA reserves the right, in its sole and absolute discretion, at any time and from time to time, to modify or supplement this RFI and to issue additional RFIs or RFSs, or to enter into agreements with one or more persons or entities with respect to any aspect of the eligibility determination process, whether or not described in this RFI, and with persons or entities who do or do not respond to this RFI.

## Section 3 The Opportunity

This RFI asks for solutions for improving FSSA's Eligibility Services. FSSA is granting Respondents significant latitude in defining how they would solve the problem. The following section describes the program visions, objectives and outcomes. These, together with the Program Vision in Section 4 and Scope in Section 5 define the parameters within which proposed solutions should lie.

### 3.1 Program Objectives and Outcomes

In sum, FSSA seeks to improve the effectiveness of Eligibility Services provided by FSSA. FSSA seeks to ultimately enter into a contract with a private team of services providers ("Vendor") to provide certain eligibility determination and program services that are currently operated directly by FSSA.

FSSA seeks a Vendor to perform the general eligibility function for TANF, food stamps and Medicaid (including Children's Health Insurance Program, or "CHIP"). In addition, the Vendor will be responsible for the state's welfare-to-work program (Indiana Manpower and Comprehensive Training, or "IMPACT") and eligibility for the Child Care Development Fund ("CCDF"), i.e., child care services for families participating in TANF, or other low income families. Also included in the vision are the eligibility services required by DCS for administering foster care (Section 4.4).

A Vendor will take responsibility for providing Eligibility Services with its own staff. These core functions will be carried out in conjunction with certain state employees who will remain part of FSSA. As required by federal law, a merited<sup>3</sup> state employee shall remain responsible for the final eligibility determination.

In addition to the basic eligibility function, the Vendor will be responsible for services intended to maximize self-sufficiency through the IMPACT program. The Vendor will provide such services in-house or contract for such services with current or new program providers. The Vendor will be expected to operate and improve the IMPACT program through its management of the current set of program providers, newly contracted providers, or its own in-house service.

In addition to the IMPACT program, the Vendor will be responsible for subsidized child care eligibility determination for those needing such care in order to participate in work programs, or for other low-income families. The Vendor will be expected to offer child care eligibility using the services of existing providers, or providing such eligibility service in-house.

Along with each objective described below is a short list of the parameters on which the Respondent solutions will be judged, and on which service level agreements will be developed in

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<sup>3</sup> That is, an employee of the State of Indiana within the merit pay structure whose job description includes eligibility determination

ultimate contracting. This is not yet a complete list. Responses will be judged on the creative, high-impact program outcomes they propose, including those below.

- Today, Indiana citizens trek to remote offices where they wait in lines and frequently are required to make return visits. The process should be easier. It should enable Indiana citizens to enroll with a minimum of personal visits. It should use the best tools to ensure that information is shared between state offices so that Indiana citizens are not caught in a paper chase. The process should save time, allowing clients to spend more time pursuing self-sufficiency and less time seeking benefits.
- Self-sufficiency efforts through work programs should be closely integrated and made part of program benefit services such as TANF, food stamps and Medicaid. Program benefits such as TANF and food stamps should require enrollment and ongoing participation for most program beneficiaries.

### **3.2 Increased Employment and Reduced Dependency**

Indiana has been successful at substantially reducing the number of Indiana citizens dependent upon cash assistance through the TANF program. Today, TANF and other benefit programs including food stamps should be better aligned with the ongoing objective of increased employment and dependency reduction so as to continue this progress. The new system should help provide services that improve the employment prospects of those dependent upon TANF and food stamps to the maximum degree.

#### **Desired outcomes:**

- Use food stamps and TANF programs to encourage self-sufficiency
- Increase substantially the proportion of TANF and food stamp only cases whose members are actively engaged in ongoing welfare-to-work activities
- Bring food stamps into congruity with the goals of the TANF program including employment and participation in welfare-to-work activity, especially for food stamp only households whose members are not currently engaged in private or program work activities.
- Slow the growth rate of state Medicaid spending and increase the proportion of Indiana families providing for their own health insurance
- Help more Indiana citizens to enter the work force through the IMPACT program

### **3.3 Reduce Fraud and Abuse and Increase Accuracy and Integrity**

The Respondent's solution should ensure benefit payment dollars are going to Indiana citizens in need, and not going to others who do not qualify or are capable of being self sufficient.

#### **Desired Outcomes**

- Decrease fraud and abuse across each of the subject public assistance benefits programs, as measured by:

- Defining and maximizing per capita discovery, and providing mitigating strategies to demonstrate that the discovery declines over time
- Optimizing the ratio of cost to recovery and/or avoidance to demonstrate cost effectiveness of efforts in this area
- Increase percentage of first-time correct eligibility decisions
- Increase application processing accuracy
- Optimize the speed of eligibility re-determination when client circumstances change after enrollment
- Reduce the subjectivity involved in Eligibility Services, applying consistent standards across all program determinations
- Assure federally-mandated program standards and requirements are met
- Better match eligibility work performed to client risk profile and cost to state

### **3.4 Improve Financial and Program Accountability**

Today, FSSA is in the midst of implementing its first department-wide accounting system. Along with this improvement, FSSA should have access to ongoing information with indicators related to clients, efficiency, service, fraud and abuse, as well as other measures of operating performance.

#### **Desired Outcomes**

- Provide FSSA leadership with management information that will permit individual programmatic decision-making, cross-program coordination and outcomes management
- Identify and specify business processes and operating metrics that reflect core eligibility functions, and define plans and deliverables to measure and report on these over the course of the contract

### **3.5 Reduce Administrative Cost and Inefficiencies**

The new eligibility solution should serve Indiana citizens with modern tools and processes which improve efficiency and reduce costs, while providing services which are more effective at achieving program outcomes.

#### **Desired Outcomes**

- Decrease volume going through local offices
- Increase quality of interactions
- Reduce the cost of client information maintenance and eligibility re-determination
- Re-invest savings into improving and streamlining the workforce
- Reduce duplication in processing applications

### **3.6 Align IT Initiatives with MITA**

The federal Medicaid Information Technology Architecture (“MITA”) program offers direction and funding to help FSSA conduct a business driven transformation of its operations, in coordination with similar efforts related to Public Health Information Networks (“PHIN”) and Electronic Medical Records. The solution should align IT initiatives with the nationwide trend toward Integrated Coordinated Healthcare and Human Services Delivery (MITA, PHIN, health data exchanges). Systems initiatives by an ultimate Vendor should be compliant with MITA guidelines to assure their value to Indiana at the end of the contract term.

#### **Desired Outcomes**

- Improve administrative operations and reduce overall administrative costs
- Provide a client/patient-centric view of information, not constrained by organizational barriers
- Provide for interoperability within and across states as well as with other agencies, organizations or programs that interact with the clients
- Maximize use of commercial off the shelf software
- Provide a service oriented architecture
- Provide for integration with public health data

### **3.7 Optimize Cost Sharing Among Federal, State And Private Partners.**

Providing benefits for Indiana citizens in need is a responsibility shared by the state and federal governments along with other funding sources. FSSA best serves Indiana taxpayers by providing public assistance that appropriately uses federal and private funding opportunities in addition to state resources.

#### **Desired Outcomes**

- Maximize federal matching funds and third party liability
- Coordinate use of and maximize the effect of benefit dollars
- Recognize the overall superior value of self-sufficiency despite the immediate loss of some federal dollars to the state

### **3.8 Improve Access to Benefits for Those Who Need Them**

#### **Desired Outcomes**

- Reduce application processing time
- Increase access points for application and recertification
- Create consistent standards for Eligibility Services
- Make it easier for Indiana citizens to comply with policies and rules

- Reduce the need for Indiana citizens to produce the same source documents for each public assistance benefit program application
- Improve the hours during which the system is available to client
- Assure appropriate access for clients with cultural and language barriers

### **3.9 Demonstrate Immediate, Positive Results**

#### **Desired Outcomes**

- Show measurable reduction in the complexity of administering benefits
- Demonstrate that the solution is easier for Indiana citizens to use
- Price (in the RFS) to show immediate results in the first year

## **Section 4 Program Vision**

The Respondent's solution should meet the guidelines embodied in the vision. This vision described below addresses the most important defining aspects of the solution. Solution details are for the Respondent to determine.

### **4.1 Improve Staffing Model**

FSSA anticipates retaining no control over assets or staff during the term of the Vendor's contract (other than as described in Section 5.4). The Response should describe how the Respondent would provide all aspects of the eligibility determination process. FSSA will work with Respondent(s) during contract negotiation to value assets and leases.

The Response should describe the size, location, skill sets and work responsibilities of staff used in the solution. The Response should describe how current staff will be used during transition and in the final solution.

FSSA employs over 2,500 dedicated case workers, supervisors, and clerical support who have performed Eligibility Services for the state for years. The vision is that change can happen in a manner that minimizes adverse impact on current workers.

FSSA is committed to treating its current employees fairly. Many current employees will continue to work on eligibility as state employees, some will take on new opportunities in non-state jobs, and still others will take new assignments within state government. FSSA is committed to helping all those employees it currently employs to grow and flourish. FSSA's expectation is to:

- Allow the Vendor to employ certain FSSA employees
- Encourage placements in other areas of state government
- Downsize through natural attrition
- Craft voluntary employee buyout packages to encourage retirement, movement to other vacant state positions, or to exit the state workforce

### **4.2 Increase Client Service through Balanced Service Venues**

FSSA manages 107 county offices that provide most Eligibility Services. While this is inefficient both for FSSA and clients, some level of local presence is required. State law and good client service requires there to be a facility for clients to physically go to in their county. FSSA anticipates that the Respondent may propose changes to the current approach to county offices. The new solution might include offices that are (for example) smaller, more lightly staffed, points of self-service or co-located with other state offices.

While maintaining some local presence is required, FSSA anticipates that the new solution may move most eligibility work to more efficient and effective venues. These could include:

- Service and mail centers
- Web service
- Interactive Voice Response and Call Centers

The solution should describe how the Respondent may deliver services in each venue: staffing, hours of operations, expected level of use, geographic coverage. Respondents should be advised that current Indiana law requires that an eligibility office be located in each county. The law does not specify what comprises an office.

### **4.3 Reduce Indiana Citizens' Dependence on TANF and Food Stamp Benefits**

A key to managing Eligibility Services is finding ways to reduce case load, particularly where that achieves the added benefit of reducing unnecessary dependence on public assistance. IMPACT (Indiana's welfare-to-work program) will serve as the basis for expanding efforts to incorporate Indiana citizens more actively in the patterns of daily work and reduce their dependence on benefit programs. Today, participation is low. The vision is that IMPACT will be used as one of several tools to make sure that public assistance benefits are transitional support leading to economic self-reliance, rather than a permanent income alternative.

To that end, FSSA will work with the Respondent to incorporate work requirements into food stamp eligibility as well as other public assistance programs, both as a state goal and as mandated by federal statute.

### **4.4 Optimize Foster Care Reimbursement from All Sources**

DCS is responsible for capturing necessary information to determine how foster care should be funded. The process for capturing information to determine how service to a child (and its family) in need of services is not well designed. As a consequence, many children who are involved with DCS or are wards of the Court (through the DCS or local probation departments) are not accurately determined to be eligible, or are not enrolled in appropriate reimbursement programs or processes. Children in need could be eligible for reimbursement from several programs including Medicaid, Medicaid Rehab Option ("MRO"), Title IV-A, Title IV-E, Title IV-E Waiver, Supplemental Security Income ("SSI"), child support and parental reimbursements.

Today, in Indiana, any of the above reimbursement programs and processes account for far less than the national average reimbursement, and less than DCS believes *should* be captured. Accordingly, Respondent's solution should provide for seamless Eligibility Services for programs listed above. The vision is to raise the reimbursement so that the national average is met or exceeded. Specifically, Title IV-E reimbursement should be over 55% of total foster care spending.

Responses to this RFI should describe how to improve Eligibility Services by exercising a series of rules that determine eligibility to reimbursement forms most favorable to the child as well as the state. The solution should:

- Collect source data for the appropriate Eligibility Services from all sources
- Use the data to determine the highest and best reimbursement first, and what other reimbursement sources would be available
- Complete the determination in time to coincide with the placement decision
- Provide sufficient information to allow the best determination of the optimum funding sources for services provided to each child and his/her family coming into the system
- Enroll children in the Medicaid system as soon as possible

## **4.5 Continue to Build on a Foundation of ICES and AIS**

The technology backbone for FSSA Eligibility Services is the Indiana Client Eligibility System (“ICES”). ICES is a federally-certified online integrated eligibility system. ICES supports FSSA operations by determining eligibility and benefit level for TANF, food stamps, Refugee Cash Assistance and multiple categories of medical assistance. ICES provides alerts, client scheduling, generation of notices, data exchanges, mass changes and an online policy manual. ICES also supports IMPACT, benefit recovery (including a scratchpad and tax intercept data exchange), benefit issuance, hearings and appeals and quality control. ICES is the primary source for the delivery of TANF and food stamps benefits via the Electronic Benefit Transfer (“EBT”) system. Additionally, ICES sends and receives data from over 90 interfaces through batch processes.

FSSA considers ICES to be inadequate for today’s reporting and integration needs. However, the goals of this Eligibility Services program are to produce substantial near-term benefits in Eligibility Services; to reduce costs, fraud and abuse; and to move clients into work settings. These goals require quicker action than would be realized within a long ICES replacement effort. In fact, FSSA believes that diverting attention to designing, building, and implementing an ICES replacement would be at odds with FSSA’s objectives for the Eligibility Services program.

FSSA expects ICES to be replaced in the future, in which case the foundation for its design will be the business processes and program policies developed during the Vendor contract anticipated as a result of the RFS process. FSSA has already determined that business process will change significantly over the coming years. In addition, renewal of the TANF regulations and inevitable changes to Medicaid regulations will change the underlying need in some indeterminate manner.

Respondents may suggest an alternative to ICES. However, FSSA would need to understand how that alternative could be functional in an appropriate time, be transferred to FSSA at contract termination, and be paid for through the services contract.

The Automated Intake System (“AIS”) supports intake agent functions such as determining eligibility, performing re-certifications, issuing vouchers, managing wait lists and determining if funds are available for their county.

## **4.6 Serve All of Indiana with One Eligibility Services Provider**

FSSA is looking for a single partner (that may include subcontractors) to provide Eligibility Services in Indiana. Other states have considered the notion of creating a competitive environment in which different regions of the state are served by different providers. This would not be consistent with the partnering relationship FSSA seeks to develop with a Vendor.

## **4.7 Partner with Community Groups**

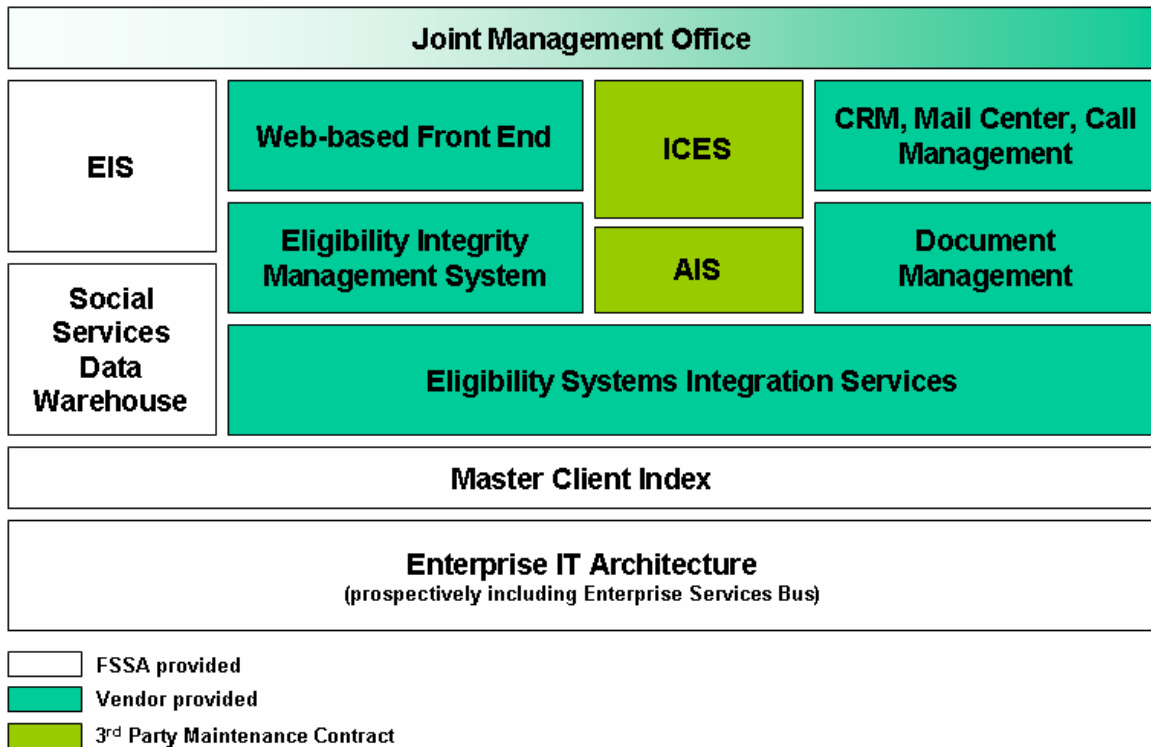
Partners are key to delivering Eligibility Services. Community-based organizations such as Area Agencies on Aging and Centers of Aging and Aged should factor importantly in Respondent's solution. Likewise the solution should describe how the Respondent proposes to include in the solution other community partners such as faith-based organizations, hospitals and/or quasi-governmental groups such as school guidance counselors.

A Vendor will assume responsibility for building and managing relationships with third parties who provide Eligibility Services.

## **4.8 Vendor Manages Eligibility Information Systems**

FSSA anticipates that legacy eligibility information systems, including ICES and AIS, will remain in place in the near term. Any new systems critical to the business processes will be provided by the Vendor, and integrated with FSSA's legacy systems as required. In accordance with federal and state mandates, FSSA will retain responsibility for policy making and the overall performance of its programs, including eligibility processes. However, FSSA will expect the Vendor to assume all operational responsibilities, including management, administration and maintenance of the underlying systems that support eligibility functions as illustrated in Figure 3 below and described in Sections 4.9 through 4.11.

**Figure 1: Vision of Jointly Managed Eligibility Information Systems**



## 4.9 Other Agencies Enjoy Automated Access to FSSA Data

Several other programs (see those listed as out-of-scope in Appendix 2) could make use of automated access to FSSA eligibility data. The solution should extend the data integration layer and facilitate data access by other organizations, using other support applications. The need is not now well defined and will develop over the term of a Vendor contract.

## 4.10 Vendor Develops New Applications that Pass to the State

During the course of the Eligibility Services relationship, FSSA expects that the Vendor will develop new Eligibility Services solutions involving processes, systems applications, policies, staffing models and the like. FSSA will have unencumbered right to use those solutions at the end of the contract with the Vendor.

#### **4.11 Vendor Manages ICES and AIS, Jointly Administering Existing Contracts along with FSSA**

ICES and AIS are currently maintained under contracts with third-party providers. FSSA expects to assign management responsibility for these contracts to the selected Vendor, who will then become responsible for monitoring and managing current service providers' performance. FSSA expects Vendor to be the primary responsible party for all in-scope eligibility systems. These core management functions will be carried out in conjunction with certain state systems employees who will remain part of FSSA. As stated above, FSSA will retain its legal and policy authority for direction and program performance. FSSA will remain the contracting party on maintenance contracts, and will pay the maintenance vendors. Respondent will describe its plans for providing management oversight.

FSSA will preserve the option to competitively re-procure ICES and AIS maintenance services in the future, and expects to offer the Vendor the option to bid on taking over ICES and AIS maintenance activities, rather than continuing to manage the respective vendor that is performing the maintenance services.

#### **4.12 Vendor Assumes and Manages Contracts with Other Services Providers**

Many of FSSA's services are provided by outside vendors including, but not limited to:

- IT services beyond ICES and AIS maintenance (Section 4.11)
- Administrative and other services
- TANF providers
- Medicaid enrollment

A representative list of current FSSA outside vendors is included in the Respondent Document Library. The Response should describe how the Respondent proposes to assume management responsibility for current contracts. Respondent's solution should describe how it will develop and manage service level agreements, implement vendor management, and select replacement vendors (or re-negotiating with current vendors) as contracts expire. The Response should anticipate re-negotiating or replacing contracts as they expire. Respondent may also choose to perform services itself once the existing contracts expire.

#### **4.13 Vendor Manages Assets and Leases**

FSSA now manages 107 county offices throughout the state. Respondent will describe how it will take on financial and management responsibility for these offices. A list of the offices is included in the Respondent Document Library. Some of these offices could be shared with DCS.

Some of FSSA's offices are leased. A list of leases is included in the Respondent Document Library. The Response should describe how Respondent proposes to assume responsibility for

property in which offices are now located. The Respondent's solution should anticipate taking full responsibility for any property it assumes, during the term of the contract.

These offices are currently built out with leasehold improvements, office furniture and equipment, files, and the like. All of these assets may be transferred to the Vendor for the term of the contract. Leases may be assigned. In that event, the solutions Vendor will have wide authority to renegotiate leases, rearrange offices and make such other asset changes to improve performance. FSSA and the Vendor will collaborate on changes to contracts or leases.

#### **4.14 Jointly, FSSA and Vendor Update Program Policies**

During the course of the contract, the Vendor will identify changes to program policies that would improve performance. FSSA will collaborate with the Vendor on any changes. Response should describe in the proposed solution how changes would take place.

#### **4.15 Manage Eligibility Services through a Quality Process**

FSSA is weak in applying quality fundamentals to eligibility. Little is done to document or continuously improve processes. FSSA seeks a Respondent that manages through a formal quality process methodology like Six Sigma or Lean Manufacturing. The Response should describe approach to:

- Process documentation
- Monitoring of errors in process
- Continuous improvement
- Training in quality as well as process
- Performance improvement goals and management

In prior years, the state experienced a failed attempt to implement a Six Sigma quality program. This past experience is viewed as a failure of execution, not of the underlying need for a quality process. FSSA believes that a strong quality process will help ensure that a Vendor is successful.

#### **4.16 The State Continues to Determine Final Eligibility**

Federal law requires that a state employee provide final eligibility approval for Medicaid and food stamps. FSSA will fulfill that requirement. The solution will anticipate that an active level of FSSA inspection is required before final approval of client eligibility. FSSA/IDOA is concerned that such approval is neither perfunctory, nor a bottleneck in the process.

#### **4.17 No Changes to Enabling Legislation at this Time**

FSSA will continue to provide services in accordance with current law. While not ruling out legislative changes in the future, FSSA doesn't plan to seek legislative changes currently.

Accordingly, Respondents should offer solutions that work within current law. Program policies, however, are continuously in the process of being updated. These policies are now undergoing change and may be rewritten collaboratively with a Vendor during or after the execution of a contract with a Vendor.

## **Section 5 Scope**

This section will describe four key aspects of the scope: programs, processes, systems and administrative responsibilities.

### **5.1 Programs in Scope**

Eligibility Services will apply to six basic programs:

- Medicaid, including the CHIP waiver programs, long-term care and IV-E
- TANF (including service providers)
- Food stamps
- CCDF – eligibility portion
- IMPACT (including service providers)
- Foster Care funding eligibility

These programs were chosen due to their large budget financed partially by the state, their potential for fraud and abuse, and because the application and eligibility processes for these programs are primarily conducted within FSSA.

A program that ties in to these programs is Hoosier Healthwise. Hoosier Healthwise is Indiana's health care program for children, pregnant women, and low-income working families. Some applications for the Hoosier Healthwise program are taken through agreements that FSSA has with external enrollment centers (hospitals, etc). A Vendor will continue these relationships and expand them so that social service partners can prepare applications for all six programs as appropriate.

The in-scope programs all require analysis of a client's financial situation and, in some cases, medical review. The new solution should process financial eligibility and medical information, making it available for caseworkers to review and approve. For each of these programs, the Vendor will prepare the application for review, including screening for potential fraud and abuse. FSSA staff will provide final approval when required by law.

FSSA is directly or indirectly involved with many other programs. These are enumerated in Appendix 2. These programs are not included in the current scope of this project; however, the state may ask at some point in the future for some or all of such programs to be added in or to build interfaces so that caseworkers can review participation in all programs for an individual client. In addition, the Respondent's solution should provide a data integration layer with interfaces suitable for data access by other Indiana benefits programs. The proposed data integration layer should be suitable for allowing access by any other agency or program approved by FSSA for access. Such access would naturally be using an information protocol designed and managed by the Vendor in collaboration with Indiana Office of Technology.

## 5.2 Eligibility Processes in Scope

For the purposes of this RFI, eligibility is broadly defined to include activities in support of activities such as:

- Taking applications
- Making eligibility and re-determination recommendations
- Case work
- Managing client data
- Quality auditing
- Quality management
- Management reporting
- Systems
- Vendor management
- Fraud prevention
- Job placement
- Welfare-to-work program management

Appendix 3 contains an initial listing of eligibility activities, suggesting responsibility for each one. The Response should detail how each of these activities will be performed. Respondents are encouraged to expand the list of activities in order to add clarity about the roles and responsibilities envisioned by the solution.

## 5.3 Systems in Scope

FSSA anticipates a solution that allows shared responsibility for systems.

**Table 3: Shared Systems Responsibilities**

System/Service	Responsibility	Performance Metric
Develop enterprise IT architecture and strategy	FSSA	
Maintain Enterprise Infrastructure	Vendor	
Extend and maintain ICES master client index	FSSA	
Build and maintain social services data warehouse	FSSA	
Build and maintain FSSA executive information system	FSSA	
Build and maintain ICES web front end	Handoff to Vendor	
Build and maintain call center and mail	Vendor	

System/Service	Responsibility	Performance Metric
center support IT systems		
Build and maintain document management system	Vendor	
Build and maintain eligibility integrity management system	Vendor	
Build and maintain eligibility systems integration services	Vendor	
Manage ICES application	Vendor	
Manage AIS – CCDF support application	Vendor	
Functional specification for ICES replacement project (when and if required)	Shared	

**Enterprise Infrastructure** – FSSA and the state will continue to support and extend the technical platform now in place. This includes FSSA and state data centers, including those which support ICES, state office LAN, Internet bridge, and desktop solutions for FSSA staff. The Vendor will provide any new infrastructure required to support systems to be provided by the Vendor. Response should describe how the Vendor proposes to supply or share services such as connectivity, e-mail, help desk or other services it may require for its own employees.

**Enterprise IT Architecture** – FSSA and the state have initiated Enterprise IT Architecture strategic planning, aligned with the goals of the MITA and other national enterprise architecture guidelines including PHIN and Health Information Exchanges, and the prospective procurement of Enterprise Services Bus (“ESB”) applications for state-wide deployment. Consequently, it will be important for the Vendor to conform to the emerging state standards for IT systems, and the contract will allow the Vendor and the state to collaborate as they adapt to those changing standards.

As a part of IT strategy, FSSA will consider replacing ICES. While there is weak economic justification for replacing it today, replacement sometime in the next ten years might be justified.

**Master Client Index** – FSSA has established an operational Master Client Index (“MCI”), and will be continuing with efforts to extend it to support the Agency’s objectives. Given its relatively mature status and agency-wide function, the MCI will remain within FSSA for the purposes of this procurement. It is expected that the Vendor will integrate with and leverage the MCI for its Eligibility Systems Integration Services, a project now underway to create an integration layer across all eligibility-related systems.

**Social Services Data Warehouse** – FSSA has initiated planning and development of an enterprise data warehouse, leveraging existing data marts, data warehouses, and infrastructure services, to collect and report Agency-wide administrative and operational data. Given its

enterprise-wise function, this initiative will remain within FSSA for the purposes of this procurement. However, FSSA expects that any new system provided by the Respondent will support FSSA data warehousing and data integration needs.

**FSSA Executive Information System** – FSSA has initiated planning and development of an Executive Information System (“EIS”) for interim and ongoing agency decision support and management purposes. This initiative will remain within FSSA for the purposes of this procurement. However, it is expected that Respondent will support EIS data requirements through the Respondent’s Eligibility Systems Integration Services.

### **5.3.1 Systems Provided by Vendor**

All systems provided by a Vendor are assumed to:

- Conform to & integrate with state technical standards
- Utilize technology platforms currently owned or licensed by the state
- Meet or exceed the requirements of the state information security policy
- Remain state property (for new development work product) and be transitioned to the state or to the Vendor on termination of Vendor’s contract
- Provide conditional use and resale license of resulting work product to Vendor
- Provide ownership to state of all content (client records, documents, images, etc.)
- Meet federal standards as determined by federal statute and as approved by governing bodies

FSSA is not intending to prescribe what solutions the Vendor will offer to use in delivering the solution. FSSA believes that solutions are likely to (yet not required to) include the following (FSSA will not provide these systems):

**ICES Web Front End** – A Vendor may provide and manage a web-based front end to ICES. Today, FSSA is evaluating options for this purpose, including the Utah Universal Access System (“UAS”) front end, Ind-e-App or another front the Respondent finds suitable. The Respondent may choose to leverage these options or implement a new solution.

**Call Center and Mail Center Support IT Systems** – A Vendor may provide and manage other systems it requires to support efficient eligibility operations: Interactive Voice Response (“IVR”), call distribution and Customer Relationship Management (“CRM”), mail sorting, document scanning and storage software to manage the interaction between call handlers, client callers, and the data associated with the clients stored in the CRM and in the image database.

**Document Management** – While the state provides document management infrastructure, FSSA today has no automated document scanning, management and archiving capability. FSSA expects the Response to include these capabilities. (There is no expectation that historical documents must be archived electronically.) The proposed solution should consider the state's existing infrastructure for document management.

**Eligibility Integrity Management system** – A Vendor may provide and manage tools to integrate various data sources to pre-populate client applications, test the validity of client-

supplied information, and to identify erroneous data on file. Such sources may include ICES as well as external data files from state, federal and other sources

**Eligibility Systems Integration Services** – A Vendor may provide and manage tools to integrate data and business logic across the FSSA and Vendor-provided eligibility systems described herein. FSSA expects these services to be provided through the selection and implementation of packaged software providing Extract, Transform and Load, Enterprise Application Integration and ESB capabilities. The Respondent should describe how it may provide these services in a manner that is consistent with emerging state standards.

## 5.4 Administrative Responsibilities in Scope

This procurement relates only to Eligibility Services. FSSA will retain responsibility for its own administration of FSSA.

**Table 4: Shared Administrative Responsibilities**

Sample Eligibility Activity	Responsibility	Performance Measure
<b><i>Financial Data</i></b>		
Manage FSSA accounting system	FSSA	
Prepare periodic <i>financial</i> reports to state and federal agencies	FSSA	
Manage data quality of financial amounts in ICES	Vendor	
Maintain support documentation for financial amounts originating in ICES	Vendor	
<b><i>Operations Data</i></b>		
Prepare periodic reports of operational data, including case load and error rates	Vendor	
Sign off and submit operational reports	FSSA	
Maintain data on operational errors including quality data	FSSA	
<b><i>Control Systems</i></b>		
Manage controls over assets	Vendor	

Sample Eligibility Activity	Responsibility	Performance Measure
<b><i>Performance Data</i></b>		
Provide monthly summary reports for all eligibility activities (requests, acceptances, denials)	Vendor	
Provide monthly summary reports for all eligibility financial data by recipient type	Vendor	
Provide monthly summary reports for all eligibility financial data by Program	Vendor	
<b><i>Federal Operational Reporting</i></b>		
Manage data preparation for federal operational and error reports	Vendor	
Prepare federal reports	Vendor	
Submit federal reports	FSSA	

## **Section 6 Financial Specifications**

This RFI does not invite pricing Responses. However, Respondents should begin thinking about options for pricing and may propose a framework and/or recommendations for a pricing structure to be included in an RFS.

### **6.1 Program Pricing**

Any proposal (in response to a later RFS) would be seen as non-responsive if it were based on prices for individual services or if it provided for increased Vendor remuneration proportionate to increased caseload or volume of activity. Such pricing schemes would be at odds with the objective FSSA/IDOA has of purchasing services from a Vendor willing to take responsibility for helping FSSA increase efficiency and service in eligibility determination, while improving Indiana Citizens self-reliance.

### **6.2 Performance-based Remuneration**

In response to a later RFS, FSSA will be looking for innovative approaches to rewarding the Vendor for high performance in meeting the program objectives. Performance-based remuneration should accomplish:

- Simplicity – a minimum of factors to be evaluated in determining compensation
- Objectivity – unambiguous, quantitative measures should be the basis of any evaluation for payment purposes
- Direct measures of benefit –administrative cost and benefits paid are examples of direct measures. Secondary measures such as client satisfaction, quality or time to approval are useful for performance evaluation, but not for remuneration

### **6.3 Re-evaluation**

FSSA recognizes that underlying conditions can change. For example, legislative changes could materially alter the services required. The solution proposed in Response to any RFS will describe the conditions under which the Vendor might seek re-evaluation of the pricing and terms of its contract. A Vendor should be prepared to absorb all costs except those which could be considered unusual and unpredictable.

### **6.4 Term of Services and Opportunities for Extension**

FSSA currently anticipates considering proposals pursuant to an eventual RFS which, at the option of FSSA/IDOA, may be for either a five-year term, with a five-year extension opportunity, or a seven-year term with a three-year extension.

## **Section 7 Outline for Response to this RFI**

Responses to this RFI should be in the following format. Although Respondents will not be disqualified for departing from this format, consistency will help ensure that the unique benefits of each Response are duly considered.

### **7.1 General**

Appendix 1 outlines the requirements for the General Section of the Response.

### **7.2 Executive Summary**

Respondent will provide a brief summary of the most significant features of the Response, and how they address FSSA objectives.

### **7.3 Respondent Team Qualifications and Experience**

Each Respondent should identify specific past experience in the following areas as well as other experience from which it intends to transfer skills and capabilities

- Benefits eligibility
- Outsourcing state government operations
- Management of service centers
- Customer relationship management
- Building and maintaining web-based front-ends
- Building and managing integration layer
- Building and maintaining executive reporting
- Quality management
- Management of outside vendors

Response should highlight where relevant experience was gained, how the experience was captured into the basis for a successful FSSA project, and which individuals will carry the experience into FSSA and how.

### **7.4 Solution Overview**

In this section, the Response should describe key elements of the solution and how each element will be built-out. This should be a comprehensive description of the solution and should include at a minimum description of:

- Training and supervision
- Systems

- Offices and use of current FSSA leases
- Service centers
- Document management
- Policies to encourage better linkage with work programs
- New methods for reducing fraud and abuse, and errors
- Approach to continuous improvement

## **7.5 Client Eligibility Access**

As a clarification of the Solution Overview in Section 7.4 the Respondent should describe the solution from the point of view of the client through the initial enrollment and the re-certification processes. This description should describe each step including alternate points of contact, how client documents are collected and managed, how independent verification is obtained, how long the process takes, and how issues are resolved with the client.

## **7.6 Alignment with Objectives, Outcomes and Vision**

The Response should specifically address each of the objectives, outcomes and vision elements, showing how the proposed solution will achieve them. Respondent should identify additional outcomes and benefits.

FSSA's vision presented in the RFI is not nearly complete. Respondents are expected to refine the vision in manners consistent with the guidance provided herein. Responses should define additional proposed vision elements that the Respondent's proposed solution achieves.

In particular, Responses should address the objective of aligning the solution with the objective of reducing dependency on the public assistance system, and on using work (e.g. IMPACT) to accomplish this goal.

## **7.7 Roles and Responsibilities**

The Response should outline proposed roles and responsibilities in the format of the table in Appendix 3. The sample table in Appendix 3 is presented for reference, and is not intended to be complete. The Response should present responsibilities and performance measures suitable for contract discussions (should the state chose to enter into them.) In addition, the solution described in the Response should describe roles and responsibility for systems and administrative management (Tables 3 and 4).

## **7.8 Staffing**

FSSA is committed to a fair transition for its employees. Respondents must describe a plan in which transferred employees maintain comparable employment.

A Respondent should address staffing levels and locations. The Respondent should be explicit about how many current FSSA workers will be hired into the new solution, and under what terms. Today, three-quarters of FSSA workers are located in “county offices”, many of which are remotely located. Respondent should address how it will use current county office staff.

The Response should describe how current FSSA employees will have similar or better career opportunities if they move into the proposed solution. This should include at least a discussion of benefits, retirement, vesting and term of employment.

## **7.9 Service Delivery Venues**

The Response should describe how service will be delivered, and where. The Response should describe proposed service models in county offices and any other service centers. Respondent should identify the proposed locations of county offices (e.g. what offices might be closed or moved from current locations). FSSA reserves the right to work with the Vendor in the future to determine the best location for any other service centers.

## **7.10 Systems and Tools**

The Response should describe what new tools and systems Respondent proposes to use in delivering the solution. The Response should provide background on each proposed system or tool, where it has been used successfully before, what adaptations will be required for FSSA, known limitations and so forth.

## **7.11 Process Improvement and Quality Management**

FSSA expects that the Respondent’s solution will include a method of monitoring and managing performance quality, and that method will include a method of continuous process improvement.

## **7.12 Transition Plans**

FSSA assumes that a Vendor will not have perfect solutions on day one. In order to effect swift and smooth transition, FSSA assumes that the solution will anticipate some period of transition during which the Vendor transfers knowledge of the current client base, policies, capabilities and issues.

The Response should describe a 24-month transition plan along each of the following dimensions: staffing, offices, systems, process and policies. In particular, the Response should describe how transition will impact clients and the general populace.

FSSA anticipates that solutions will describe transition plans for the first 24 months. FSSA anticipates that transition should be completed by January 1, 2008. In addition, the solution

should describe how the Respondent, if it becomes a Vendor, would effect transition at the end of its contract.

### 7.13 Assumptions, Risks and Concerns

The Response should enumerate and comprehensively describe the implications of assumptions Respondent has made to arrive at the solution. The Response should explain sensitivities to the assumptions as well as risks and other concerns Respondent has in proposing its solution.

The Response should specify the impact assumptions will have on the solution. Respondent replies should specify assumptions as follows:

**Table 5: Assumptions (Respondent to Complete)**

Assumption	Description of Program Impact	How Respondent Proposes to Clear Assumption

### 7.14 Final Eligibility Determination

The Response should provide in-depth description of how a State of Indiana merit-rated employee will make the final eligibility determination approval.

## Section 8 Selection Process

### 8.1 Selection Criteria

FSSA/IDOA will select a Response evaluation team. Subgroups of this team, consisting of one or more team members, will be responsible for evaluating Responses with regard to compliance with the requirements of this RFI. The evaluation team will use the evaluation criteria stated in Section 8.1.1.

All RFI Responses will be opened and evaluated to avoid disclosure of contents to competing Respondents during the RFS and contract negotiation process. However, such Responses will be available to the public if and when contracts are executed at the conclusion of the RFS process.

#### 8.1.1 Evaluation Criteria for Responses to this RFI

RFI Responses will be evaluated on the technical solution (50%) and management assessment (50%). If a Response is judged not to adhere to requirements for a Response to this RFI, it will be deemed non-responsive.

The technical solution provided in the Response will be judged as shown in Table 6 (as a component of the scoring above):

**Table 6: Technical Evaluation Criteria**

Factor	Points
Solution's ability to demonstrate positive results quickly	20
Smooth transition for current FSSA employees	20
On-going approach to ensure reduction in underlying cost and inefficiencies	15
Approach to using work to reduce dependency on the public assistance system	15
Approach to reducing fraud, abuse and errors	10
Approach to improving access to benefits for those who need them	10
Impact on moving FSSA toward the goal of MITA compliance	5
Approach to optimize federal, private and state cost sharing	5

Management assessment will be made as shown in Table 7:

**Table 7: Management Evaluation Criteria**

<b>Factor</b>	<b>Points</b>
Previous experience managing process of comparable nature and scale	20
Previous experience working together as a team	20
Quality of references	20
Previous experience managing technology of similar nature and scale	15
Understanding of the challenge – demonstrated in the Response	15
Quality of proposed team members	10

### **8.1.2 Evaluation of Responses to any RFS**

A response to any RFS will be evaluated based upon specific requirements that will be described within the RFS.

## **8.2 Proposal Certification**

A Response to this RFI serves as a representation that the Respondent has properly registered as required by law with the Secretary of State and that it has no current or outstanding criminal, civil, or enforcement actions initiated by the State of Indiana. Respondent agrees that it will immediately notify the state of any such actions. The Respondent also certifies that neither it nor its principals are presently in arrears in payment of its taxes, permit fees or other statutory, regulatory or judicially required payments to the State of Indiana. The Respondent agrees that the state may confirm, at any time, that no such liabilities exist, and, if such liabilities are discovered, the state may bar the Respondent from contracting with the state, cancel existing contracts, withhold payments to set off such obligations, and withhold further payments or purchases until the entity is current in its payments on its liability to the state and has submitted proof of such payment to the state.

## **8.3 Selection Announcements**

Respondents who will be asked to present and/or respond to an RFS will be notified by mail, to the address provided in the Response.

## **8.4 Site Visits**

FSSA/IDOA may request a site visit to a Respondent's place of business to aid in the evaluation of the Response or to any subsequent RFS.

## **Section 9 Other**

### **9.1 Interpretations or Clarifications**

No interpretation, explanation or clarification of the RFI, including, without limitation, the appendices hereto, by any official, employee, consultant, attorney or other representative of the state will be considered authoritative or binding on the state unless contained in a written addendum to this RFI. FSSA/IDOA will not be bound by any information, explanation, clarification or any other interpretation, oral or written, and made by any person or persons that are not incorporated into a written addendum to this RFI. Each addendum issued must be signed by any Respondent and included in its Response. All addenda will be distributed to each potential Respondent who registers with the state to receive any addenda and shall also be posted on the website for this RFI process; provided, however, that it is the responsibility of each Respondent to make inquiries as to any addenda that are issued. All such addenda shall become part of this RFI, and all Respondents shall be bound by such addenda. Each Respondent shall complete and include in its Response a form of acknowledgement of receipt of addenda in form and substance satisfactory to the state.

### **9.2 Information Regarding Eligibility Services**

Each Respondent is solely responsible for conducting its own independent research, due diligence, investigations and other background work it may deem necessary or advisable for (a) the preparation of any Response pursuant to this RFI, (b) any response to an RFS, if such Respondent is selected for the RFS process, and (c) the subsequent delivery of services pursuant to any contract entered into with a Respondent who participates in the RFS process (i.e., a Vendor). FSSA/IDOA does not take any responsibility for the completeness or accuracy of information presented in this RFI, presented in any RFS, or otherwise distributed or made available, orally or in writing, during the RFI or RFS process or during the term of any contract awarded to any Respondent, including, without limitation, the accuracy or completeness of the information and materials available to Respondents in the Respondent Document Library.

### **9.3 Compliance with Law**

FSSA/IDOA requires that all Responses in Response to this RFI or any subsequent RFS, together with all actions and operations under such Responses or under any contract subsequently awarded with respect to Eligibility Services will comply with all applicable local, state and federal laws, ordinances and regulations. Notwithstanding any other term or provision of this RFI or any subsequent RFS or any subsequent contract with respect to Eligibility Services, all terms and provisions hereof and thereof are intended to be and shall be construed and interpreted so as to comply with all applicable local, state and federal laws, rules, regulations and ordinances. If any provision contained herein shall, for any reason, be held to be invalid, illegal or unenforceable in any respect, such invalidity, illegality or unenforceability shall not

affect any other provision of this RFI, but this RFI shall be construed as if such invalid, illegal or unenforceable provision or provisions had never been contained herein.

## **9.4 Public Disclosure**

No Respondent, its officials, agents or employees, shall issue press releases or other news releases of any kind, at any time, orally or in writing, pertaining to its Response to this RFI or, if it is selected to participate in the RFS process, pertaining to its Response to any such RFS or any contract negotiations resulting therefrom without, in each instance, the prior written approval of the Contact Person on behalf of the state. Any such disclosure prior to the time of approval by the state of fully executed agreements with a Vendor or Vendors for Eligibility Services may result in disqualification of that Respondent in the sole and absolute discretion of the state.

## **9.5 Release and Covenant Not to Sue**

It is an express condition of responding to this RFI and the consideration of any such Response that the Respondent release and covenant not to sue the state and state agencies regarding this RFI or any RFS. Each Respondent will be required to submit with its Response to this RFI an executed copy of the Release and Covenant Not to Sue attached hereto as Appendix 4. A similar release and covenant not to sue will be required for submission of a response to an RFS.

# **Appendices**

## Appendix 1: Preparation Instructions for the General Section

### TRANSMITTAL LETTER

The Transmittal Letter must address the following topics except those specifically identified as “optional.”

1.1 Summary of Ability and Desire to Supply the Required Products and Services

The transmittal letter must briefly summarize the Respondent’s ability to supply the requested products and services that meet the requirements defined in Section 3 of this RFI.

1.2 Signature of Authorized Representative

A person authorized to commit the Respondent to its representations and who can certify that the information offered in the Response meets all general conditions including the information requested in Section 2.3.4, must sign the transmittal letter. **In the transmittal letter, please indicate the principal contact for the Respondent along with an address, telephone and fax number as well as an e-mail address if different than individual authorized for signature.**

1.3 Respondent Notification

Unless otherwise indicated in the Transmittal Letter, Respondents will receive notifications via e-mail, except as specified in Section 8.3 of the RFI.

It is the Respondent’s obligation to notify the Procurement Division of any changes in any address that may have occurred since the origination of this solicitation. IDOA Procurement will not be held responsible for incorrect Respondent addresses.

1.4 Other Information

This item is optional. Any other information the Respondent may wish to briefly summarize will be acceptable.

### RESPONDENT BUSINESS DESCRIPTION

The Business Proposal in the Response must address the following topics except those specifically identified as “optional.”

1.5 General (optional)

This section of the Response may be used to introduce or summarize any information the Respondent deems relevant or important to the state's successful acquisition of the services requested in this RFI.

#### 1.6 Respondent Company Structure

The legal form of the Respondent's business organization, the state in which incorporated or organized (include a copy of Certificate/Articles of Incorporation or Organization, or equivalent charter document), the types of business ventures in which the Respondent is involved, and a chart of the Respondent's organization are to be included in this section. If the Respondent has more than one division, the division responsible for the development and delivery of the services requested in this RFI must be described in more detail than other components of the Respondent.

#### 1.7 Respondent Financial Information

This section must include the Respondent's financial statement, including an income statement and balance sheet, for each of the two most recently completed fiscal years. The financial statements must demonstrate the Respondent's financial stability. If the Respondent includes more than one division, separate financial statements must be provided for the division responsible for the development and delivery of the services request in this RFI.

#### 1.8 Facilities and Resources

The Respondent should include information with regard to the Respondent's resources that it deems advantageous to the successful provision of the requested services. This might include management capabilities and experience, technical resources, and operational resources not directly assigned to this project, but available if needed.

#### 1.9 Pricing

FSSA/IDOA does not request pricing in a Response to this RFI.

#### 1.10 References

The Respondent must include a list of at least five clients for whom the Respondent has provided services that are the same or similar to those services requested in this RFI. Any state government for whom the Respondent has provided these services should be included; also to be included should be clients with locations near Indianapolis, as site visits may be arranged. Information provided should include the name, address, and telephone number of the client facility and the name, title, and phone/fax numbers of a person who may be

contacted for further information. The more similar the referenced services are to those requested in this RFI a greater weight may be attached to the references in the state's evaluation process.

#### 1.11 Registration to do Business

A Vendor providing the services required by a subsequent RFS must be registered to do business within the state with the Indiana Secretary of State. This process must be concluded prior to contract negotiations with the state. It is the successful Respondent's responsibility to complete the required registration with the Secretary of State if it is selected for contract negotiations. The Respondent must indicate the status of registration, if applicable, in this section of the Response.

#### 1.12 Subcontractors

The Respondent must list any subcontractor's name, address and state of incorporation that are proposed to be used in providing the required services. The subcontractor's responsibilities under the Response, the subcontractor's form of organization, indication that the subcontractor was registered to do business within the state with the Indiana Secretary of State, if required, and an indication from the subcontractor of a willingness to carry out these responsibilities are to be included for each subcontractor. This assurance in no way relieves the Respondent of any responsibilities in responding to this RFI or in completing the commitments documented in the contract, should the Respondent become a Vendor.

## Appendix 2: Program Scope

FSSA is involved with many programs. Some of them do not have financial eligibility requirements, and are therefore out of scope. Appendix 2 presents the full list of programs which FSSA is involved with. Many of those programs shown as out of scope will look to Respondent for automated access to data.

Program	Scope Determination
Food Stamps	Yes
TANF	Yes
IMPACT	Yes
Child Care Development Fund	Yes
MAX- Medicaid Newborns	Yes
MAC-Low Income Families	Yes
MAF-Transitional Medical Assistance	Yes
MAU- SSI recipients	Yes
MAM-Pregnant Women	Yes
MAT	Yes
MAO	Yes
MAY, MAZ, MA 2, MA 9, MA 10 (CHIP)	Yes
MAR-Room and Board Assistance	Yes
MAA- Aged	Yes
MAB- Blind	Yes
MAD- Disabled	Yes
MADW- Med Works Basic	Yes
MADI-Med Works, Medically improved	Yes
MAN-Pregnant Women	Yes
MAQ- Refugee Medical Assistance	Yes

Program	Scope Determination
MAL- Qualified Medicare Beneficiary	Yes
MAI Individual Medicare Beneficiary	Yes
MAJ-Specified Low-Income Medicare Beneficiary (SLMB)	Yes
MAG- Qualified Disabled Working	Yes
MAE Pregnant Woman	Yes
Waiver Programs and Home and Community Based (the programs listed below are sub-categories of this category)	
– Home and Community Based	Yes
– Developmental Disorders	Yes
– Supportive Services	Yes
– Aged and Disabled	Yes
– Assisted Living	Yes
– Seriously Emotionally Disturbed	Yes
– Autism	Yes
– Medically Fragile	Yes
– Traumatic Brain Injury	Yes
Level of Care (Long Term and Medicaid Disability)	Yes
IV-E Eligibility Determination	Yes
– Adoption Assistance Program	
– Foster Care	
– Waiver	
Foster Care Medicaid Enrollment	Yes
Children With Special Health Care Needs	Yes
Hospital Care for the Indigent	Yes
Aid to Recipients in County Homes	Yes

<b>Program</b>	<b>Scope Determination</b>
Preadmission Screening	Not at present. Potential for scope expansion
Hoosier Assurance Program	Not at present. Potential for scope expansion
Developmental Disabilities Determination	Not at present. Potential for scope expansion
First Steps	Not at present. Potential for scope expansion
CHOICE	Not at present. Potential for scope expansion
WIC (Indiana Department of Health Program)	No
Emergency Food Assistance	No
Community Food and Nutrition	No
Consolidated Outreach Project	No
Housing Services/Housing Choice Voucher Program	No
Home Ownership Program	No
Mainstream	No
Family Self Sufficiency	No
Shelter Plus Care	No
Domestic Violence	No
Energy Assistance Program	No
Weatherization Assistance Program	No
Community Services Block Grant	No
Interim Assistance Reimbursement Program	No
Head Start	No
Hoosier RX	No
Senior Community Service Employment Program	No: federal program

<b>Program</b>	<b>Scope Determination</b>
Family Caregiver Support	No: federal program
Title III, Congregate Meals, Home Delivered Meals, Legal Services, Senior Centers, Transportation, Housing,	No: federal program
Social Services Block Grant- in-home services	No
Adult Guardianship	No
Ombudsman Services	No
Adult Protective Services	No
Methadone Maintenance	No
MA 12 Breast & Cervical Cancer Treatment Services	No
Burial Assistance	No
Department of Health; Breast and Cervical Cancer Screening Program	No
Vocational Rehabilitation	No
Blind and Visually Impaired Services	No
Deaf and Hard of Hearing Services	No

### Appendix 3: Sample Eligibility Activities and Responsibilities

Sample Eligibility Activity	Responsibility	Performance Measure
<b><i>Taking Applications</i></b>		Examples:
Service and mail centers – these include supporting technology like call management and CRM systems, front office and back office staffing	Vendor	<ul style="list-style-type: none"> <li>• Number of client visits</li> <li>• Errors in determination</li> </ul>
Home visits – people who make investigative calls related to confirming eligibility	Vendor	<ul style="list-style-type: none"> <li>• Client satisfaction</li> <li>• Points and Methods of increased access.</li> </ul>
<b><i>Creating FSSA policy</i></b>		Examples:
Concerning program eligibility	Shared	<ul style="list-style-type: none"> <li>• Case load reduction</li> <li>• Client satisfaction</li> </ul>
Concerning management issues concerning eligibility staff; like staffing and employee benefits	Vendor	<ul style="list-style-type: none"> <li>• Employee satisfaction</li> <li>• Simplification</li> <li>• Eliminate redundancy</li> <li>• Cross-program integration</li> <li>• Ease and speed of Eligibility Services</li> </ul>
<b><i>Managing Eligibility Process</i></b>		Examples:
Collect, enter and manage data from applicants and clients	Vendor	<ul style="list-style-type: none"> <li>• Time to determination</li> <li>• Backlog</li> <li>• Client satisfaction</li> <li>• Determination accuracy</li> <li>• Collect data and key documents once (including between programs)</li> <li>• Increase efficiency</li> <li>• Making information available between programs including program integrity</li> </ul>
Answer questions and otherwise provide support to clients and the population at large concerning benefits	Vendor	
Provide general information about benefits including printed, web and other material	Vendor	
Collecting external corroborative information – building and maintaining links with outside organizations to provide corroborating data, building and maintaining expert systems that perform the comparisons	Vendor	
Preparing the eligibility recommendation for each application	Vendor	
Making the eligibility determination decision	Vendor	
Approving individual eligibility decisions	FSSA	

Sample Eligibility Activity	Responsibility	Performance Measure
Collecting and managing paper documentation – staffing and systems to collect, scan, distribute and archive source documents provided by clients	Vendor	
<b>Managing Client Data</b>		Examples:
Keeping information up-to-date – periodically reviewing client data to resolve irregularities	Vendor	<ul style="list-style-type: none"> <li>• Data accuracy</li> <li>• Satisfaction of outside agencies</li> <li>• Increase means of access for clients to provide timely and accurate information affecting their eligibility</li> <li>• Increase the use of data matching to ensure integrity of the data</li> <li>• Improved efficiency in processing data from matches</li> </ul>
Determining what agencies and groups of individuals may have electronic access to FSSA data	FSSA	
Managing data files – implementing decisions about what programs and people may access client data, commissioning any technical changes required	Vendor	
<b>Case Work</b>		Examples:
Reviewing cases – performing office-based periodic reviews of client/family situations and recommending changes to eligibility status	Vendor	<ul style="list-style-type: none"> <li>• Accuracy of case reviews</li> <li>• Timeliness of case reviews</li> </ul>
Manage third party liability medical payments	Vendor	
Client hearings and appeals	Shared	
Reviewing client satisfaction	FSSA	
<b>Re-determination</b>		Examples:
Automatically prepare notices – office-based work that generates client communications about periodic compliance requirements or potential changes in eligibility status	Vendor	<ul style="list-style-type: none"> <li>• Accuracy of case reviews</li> <li>• Client satisfaction</li> <li>• Case load reduction</li> </ul>
Determine which cases need further investigation – an internal audit function that identifies groups of cases or individual cases that require home visits, letters or other investigatory action	Vendor	
Approving individual eligibility decisions	FSSA	
Conducting additional investigation and making determination – people who follow-up on cases flagged as requiring additional	Vendor	

Sample Eligibility Activity	Responsibility	Performance Measure
investigation		
Enforcement – people who work with law enforcement to prosecute illegal use of benefits programs	Vendor	
Closing cases – people who take the steps to close case for clients who are no longer eligible	Vendor	
<b>Quality Auditing</b>		Examples: <ul style="list-style-type: none"> <li>• Feedback from FSSA internal audit</li> <li>• Federal audits</li> <li>• Number and quality of Vendor errors found</li> <li>• Time to closure of audit issues</li> </ul>
Audit policies and practices – people responsible for designing the audit process for eligibility issues; including both eligibility irregularities and staff performance	Vendor	
Statistical analyses – team responsible for developing statistical data and processes to detect potential eligibility fraud and abuse	Vendor	
Internal audit – team of auditors focused on finding and correcting internal performance irregularities	Vendor	
Perform compliance audits of all eligibility work	FSSA	
<b>Quality Management</b>		Examples: <ul style="list-style-type: none"> <li>• Feedback from FSSA internal audit</li> <li>• Overall process error rates</li> <li>• Rate of decrease in process error rates</li> <li>• Hours of quality training</li> <li>• Number of processes that undergo process improvement</li> </ul>
Quality Process – building and managing a process that drives continuous improvement through all aspect of eligibility	Vendor	
Quality data management – developing the requirements for quality data collection, building any systems and processes, collecting and evaluating quality data, reporting quality issues to FSSA leadership	Vendor	
Quality improvement – team(s) that conduct process improvement and monitor results of process improvement	Vendor	
<b>Management Reporting</b>		Examples: <ul style="list-style-type: none"> <li>• Timeliness and accuracy of management information</li> <li>• Timeliness and accuracy of federal reports</li> </ul>
Regular financial reporting – people who prepare and present regular reports to FSSA leadership covering financial and personnel data	Shared	
Regular operational reporting – people who prepare and present regular reports to FSSA leadership covering clients, benefits distributions, fraud & abuse statistics, etc.	Vendor	
Analytical team that evaluates data and prepares special reports for FSSA administration on all sorts of questions that may come	Shared	

Sample Eligibility Activity	Responsibility	Performance Measure
up		
Preparing regulatory reporting to various federal and state agencies related to benefits disbursements, compliance, fraud & abuse, etc.	Vendor	
<b>Systems</b>		Examples: <ul style="list-style-type: none"> <li>• Client satisfaction with user front end</li> <li>• Issues raised to partner organizations or other state agencies</li> </ul>
Operations management – who manages the FSSA data center, Database maintenance and communications (WAN, LAN, Internet access)	FSSA	
New development – who staffs major new systems development projects	Shared, see Section 3.3.2 Vendor	
Application management – who provides the staff to maintain and perform minor upgrades to existing applications	FSSA	
Help desk (internal and external)	Vendor	
Desktop management – who procures, deploys, maintains PCs and other equipment outside the data center	Vendor	
Data warehouse and management reporting – who designs, builds and maintains	FSSA	
<b>Vendor Management</b>		Examples: <ul style="list-style-type: none"> <li>• Compliance with SLAs</li> <li>• Lack of legal issues</li> </ul>
Managing third-party eligibility providers – maintaining contracts with vendors, defining scope and performance criteria, collecting performance data, levying disciplinary actions if required, determining pricing and rewards	Vendor	
Managing non-financial eligibility input – maintaining contracts with medical eligibility providers, defining policies and performance criteria, collecting performance data, levying disciplinary actions if required, determining pricing and rewards	Vendor	
Managing systems vendors	FSSA	
Managing the vendor(s) providing Eligibility Services	FSSA	
Managing provider relationships	FSSA	

## Appendix 4: Covenant Not to Sue

### STATE OF INDIANA

#### RELEASE AND COVENANT NOT TO SUE

In consideration of the opportunity to submit a Response to RFI 6-C respecting FSSA Eligibility Services, the undersigned Respondent hereby releases and covenants not to sue (a) the State of Indiana and all its elected and appointed officials, (b) all state agencies as defined in I.C. 4-13-1-1 (including without limitation the Family and Social Services Administration, the Indiana Department of Administration and the Department of Child Services) and their respective officials, (c) the Office of the Attorney General of the State of Indiana, and (d) the selection entity(ies) for RFI 6-C and its members, and the respective employees, consultants, representatives, attorneys and agents of any of (a), (b), (c) and (d) (all of the foregoing persons or entities being collectively referred to as the "State Parties") from and in respect of, all manner of action or actions, cause or causes of action, suits, debts, sums of money, contracts, promises, controversies, damages, judgments, preventions, claims, demands, liabilities and obligations, of whatever kind or nature, at law or equity, which the Respondent ever had or now has or may in the future have against any State Party that may arise as a result of or in connection with any decision or action or failure to act by any State Party pursuant to RFI 6-C or in connection with any process or procedure under RFI 6-C (collectively, "Claims").

This release and covenant not to sue shall be binding upon Respondent, and shall inure to the benefit of the State Parties, and their respective successors, assigns, heirs and personal representatives.

Agreed to this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
"Respondent"

By: \_\_\_\_\_

\_\_\_\_\_, \_\_\_\_\_

(Name)

(Title)